



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

Title of Invention	COMPOUNDS FOR MODULATION OF CHOLESTEROL TRANSPORT
<p>As the below named inventor(s), I/we declare that:</p> <p>This declaration is directed to:</p> <p><input type="checkbox"/> The attached application, or</p> <p><input checked="" type="checkbox"/> Application No. <u>10/681,746</u>, filed on <u>October 8, 2003</u>,</p> <p><input type="checkbox"/> as amended on _____ (if applicable);</p> <p>I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;</p> <p>I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;</p> <p>I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.</p> <p>All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.</p>	

FULL NAME OF INVENTOR(S)	
Inventor one: <u>Thomas I. F. Nieland</u>	
Signature: <u>[Signature]</u>	Citizen of: <u>Netherlands</u>
Inventor two: <u>Monty Krieger</u>	
Signature: _____	Citizen of: <u>USA</u>
Inventor three: <u>Tomas Kirchhausen</u>	
Signature: _____	Citizen of: <u>USA</u>
Inventor four: _____	
Signature: _____	Citizen of: _____
<input type="checkbox"/> Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.	

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

Title of Invention COMPOUNDS FOR MODULATION OF CHOLESTEROL TRANSPORT

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/681,746, filed on October 8, 2003,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further, that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Thomas J. F. Nieland

Signature: _____ Citizen of: Netherlands

Inventor two: Monty Krieger

Signature: [Signature] Citizen of: USA

Inventor three: Tomas Kirchhausen

Signature: _____ Citizen of: USA

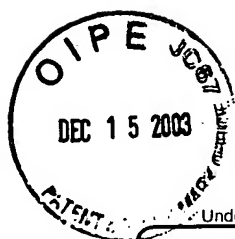
Inventor four: _____

Signature: _____ Citizen of: _____

☐ Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

Title of Invention	COMPOUNDS FOR MODULATION OF CHOLESTEROL TRANSPORT
As the below named inventor(s), I/we declare that:	
This declaration is directed to:	
<input type="checkbox"/> The attached application, or	
<input checked="" type="checkbox"/> Application No. <u>10/681,746</u> , filed on <u>October 8, 2003</u> ,	
<input type="checkbox"/> as amended on _____ (if applicable);	
I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;	
I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;	
I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.	
All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.	

FULL NAME OF INVENTOR(S)	
Inventor one:	<u>Thomas J. F. Nieland</u>
Signature: _____	Citizen of: <u>Netherlands</u>
Inventor two:	<u>Monty Krieger</u>
Signature: _____	Citizen of: <u>USA</u>
Inventor three:	<u>Tomas Kirchhausen</u>
Signature: _____	Citizen of: <u>USA</u>
Inventor four:	_____
Signature: _____	Citizen of: _____
<input type="checkbox"/> Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.	

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Thomas J.F. Nieland, Monty Krieger, and Tomas KirchhausenApplication No./Patent No.: 10/681,746 Filed/Issue Date: October 8, 2003Entitled: Compounds For Modulation of Cholesterol TransportMassachusetts Institute of Technology a corporation of the Commonwealth of Massachusetts

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of a joint, undivided interest; or2. ☐ an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3. If the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

October 28, 2003

Date

(617) 253-6966

Telephone number

Rita H. Tilpman

Typed or printed name

Rita H. Tilpman

Signature

Patent Administrator

Title

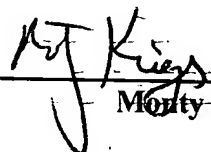
ASSIGNMENT

I, Monty Krieger of 33 Woodbine Circle, Needham, Massachusetts 02494, in consideration of ten dollars and other valuable consideration paid to me by Massachusetts Institute of Technology, a corporation of the Commonwealth of Massachusetts, having its principal place of business at 77 Massachusetts Avenue, Cambridge, Massachusetts 02139 (hereinafter "said Assignee"), the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Assignee, its successors and assigns, a joint and undivided interest for the United States of America, and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property, in a certain invention or improvement in "*Compounds for Modulation of Cholesterol Transport*" described in U.S. Serial No. 10/681,746 filed in the United States Patent and Trademark Office on October 8, 2003, by Thomas J.F. Nieland, Monty Krieger, and Tomas Kirchhausen, and in the provisional application to which priority is claimed, being U.S. Provisional Application Serial No. 60/417,083 filed in the United States Patent and Trademark Office on October 8, 2002, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any provisional, divisional, continuation, continuation-in-part, reissue, or other applications based in whole or in part thereon. And I agree, for myself and my executor and administrator, with said Assignee and its successors and assigns, but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said Assignee, with specifications and claims in such form as shall be approved by the counsel of said Assignee, and to vest and confirm in said Assignee, its successors and assigns, the legal title to all such patents.

Title: "Compounds for Modulation of Cholesterol Transport"
By: Thomas J.F. Nicland, Monty Krieger, and Tomas Kirchhausen
Filed: October 8, 2003
ASSIGNMENT

And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said Assignee, its successors and assigns.

WITNESS my hand and seal this 30 day of October, 2003.

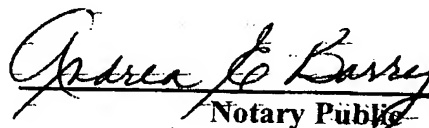


Monty Krieger

Commonwealth of Massachusetts

County of Middlesex

Then personally appeared the above named Monty Krieger and acknowledged the foregoing instrument to be his free act and deed, before me this 30th day of October, 2003.



Notary Public

My Commission expires: August 30, 2007

ANDREA E. BARRY
Notary Public
My Commission Expires
August 30, 2007



PTO/SB/81 (06-03)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/681,746
Filing Date	October 8, 2003
First Named Inventor	Thomas J.F. Nieland
Title	Compounds for Modulation of Cholesterol Transport
Art Unit	
Examiner Name	
Attorney Docket Number	MIT 9952

I hereby appoint:

☒ Practitioners at Customer Number:**23579**

OR

☐ Practitioner(s) named below:

Name	Registration Number
Patrea L. Pabst	31,284
Rivka D. Monheit	48,731
Todd S. Hofmeister	53,029

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:**23579**

OR

<input type="checkbox"/> Firm or Individual Name	Patrea L. Pabst; Holland & Knight LLP				
Address	Suite 2000, One Atlantic Center				
Address	1201 West Peachtree Street, N.E.				
City	Atlanta	State	GA	Zip	30309-3400
Country	USA				
Telephone	(404) 817-8473	Fax	(404) 817-8588		

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name	Geoffrey J. Schmidt		
Signature	Geoffrey J. Schmidt		
Date	December 2, 2003	Telephone	617-278-3356

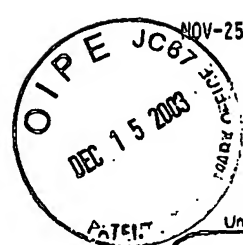
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 2 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

MIT 9952 - 701350/00207



PTO/SB/81 (06-03)

Approved for use through 11/30/2005. OMB 0651-0035
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/681,746
Filing Date	October 8, 2003
First Named Inventor	Thomas J.F. Nieland
Title	Compounds for Modulation of Cholesterol Transport
Art Unit	
Examiner Name	
Attorney Docket Number	MIT 0952

I hereby appoint:



Practitioners at Customer Number:

23579

OR



Practitioner(s) named below:

Name	Registration Number
Patrea L. Pabst	31,284
Rivka D. Monheit	48,731
Todd S. Hofmeister	53,029

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:



The above-mentioned Customer Number:

OR



The address associated with Customer Number:

23579

OR

Firm or
Individual Name

Patrea L. Pabst; Holland & Knight LLP

Address:

Suite 2000, One Atlantic Center

Address

1201 West Peachtree Street, N.E.

City

Atlanta

State

GA

Zip

30309-3400

Country

USA

Telephone

(404) 817-8473

Fax

(404) 817-8588

I am the:



Applicant/Inventor:



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name

Patrea L. Pabst

Signature

Patrea L. Pabst

Date

October 28, 2003

Telephone

(404) 817-8588

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.



Total of 2 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1480, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

MIT 0952 - 701350/00207



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Thomas J.F. Nieland, Monty Krieger, and Tomas Kirchhausen

Application No./Patent No.: 10/681,746 Filed/Issue Date: October 8, 2003

Entitled: Compounds For Modulation of Cholesterol Transport

Center for Blood Research, Inc., a nonprofit corporation of the Commonwealth of Massachusetts
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of a joint, undivided interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

December 2, 2003

Date

617-278-3356

Telephone number

Geoffrey J. Schmidt

Typed or printed name

Geoffrey J. Schmidt

Signature

Director, OTTL

Title

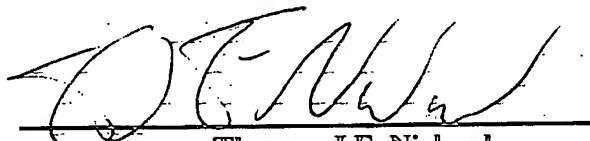
ASSIGNMENT

We, Thomas J.F. Nieland of 32 Lincoln Parkway, Apartment #3, Somerville, Massachusetts 02143, and Tomas Kirchhausen of 19R Sparhawk Street, Brighton, Massachusetts 02135, in consideration of ten dollars and other valuable consideration paid to us by Center for Blood Research, Inc., a non-profit corporation of the Commonwealth of Massachusetts, having its principal place of business at 800 Huntington Avenue, Boston, Massachusetts 02115 (hereinafter "said Assignee"), the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Assignee, its successors and assigns, a joint and undivided interest for the United States of America, and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property, in a certain invention or improvement in "*Compounds for Modulation of Cholesterol Transport*" described in U.S. Serial No. 10/681,746 filed in the United States Patent and Trademark Office on October 8, 2003, by Thomas J.F. Nieland, Monty Krieger, and Tomas Kirchhausen, and in the provisional application to which priority is claimed, being U.S. Provisional Application Serial No. 60/417,083 filed in the United States Patent and Trademark Office on October 8, 2002, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any provisional, divisional, continuation, continuation-in-part, reissue, or other applications based in whole or in part thereon. And we agree, for ourselves and our executors and administrators, with said Assignee and its successors and assigns, but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said Assignee, with specifications and claims in such form as shall be approved by the counsel of said Assignee, and to vest and confirm in said Assignee, its successors and assigns, the legal title to all such patents.

Title: "Compounds for Modulation of Cholesterol Transport"
By: Thomas J.F. Nieland, Monty Krieger, and Tomas Kirchhausen
Filed: October 8, 2003
ASSIGNMENT

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said Assignee, its successors and assigns.

WITNESS my hand and seal this 2nd day of December, 2003.


Thomas J.F. Nieland

Commonwealth of Massachusetts)
County of Suffolk)

Then personally appeared the above named Thomas J.F. Nieland and acknowledged the foregoing instrument to be his free act and deed, before me this 2nd day of December, 2003.


Notary Public

MY COMMISSION EXPIRES
MAY 7, 2004

My Commission expires: _____

Title: "Compounds for Modulation of Cholesterol Transport"
By: Thomas J.F. Nieland, Monty Krieger, and Tomas Kirchhausen
Filed: October 8, 2003
ASSIGNMENT

WITNESS my hand and seal this 2nd day of December, 2003.



Tomas Kirchhausen

Commonwealth of Massachusetts)

County of Suffolk)

Then personally appeared the above named Tomas Kirchhausen and acknowledged the foregoing instrument to be his free act and deed, before me this 2nd day of December, 2003.




Notary Public

My Commission expires: MY COMMISSION EXPIRES
MAY 7, 2004